

## DECLARATION FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**ARTIFICIAL CHROMOSOMES, USES THEREOF AND METHODS FOR PREPARING  
ARTIFICIAL CHROMOSOMES**

the specification of which (check one)

☐ is attached hereto.

☒ was filed by an authorized person on my behalf on  
April 10, 1997 as Application Serial No. 08/835,682.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate listed below and so identified, or §365(a) of any PCT international application that designated at least one country other than the United States of America, listed below, and I have also identified below any foreign application for patent or inventor's certificate or PCT international application on this invention filed by us or our legal representatives or assigns and having a filing date before that of the application on which priority is claimed.

<u>Number</u>	<u>Country</u>	<u>Day/Month/Year Filed</u>	<u>Priority Claimed (Yes or No)</u>
N/A			

I hereby claim benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

<u>Application Serial No.</u>	<u>Filing Date</u>
N/A	

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
08/695,191	08/07/96	Pending
08/682,080	07/15/96	Pending
08/629,822	04/10/96	Pending

<u>PCT Application Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
N/A		

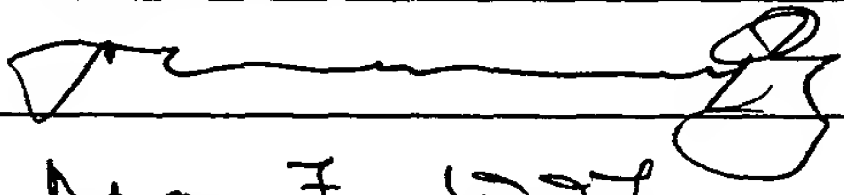
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the following attorneys and agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith and request that all correspondence and telephone calls in respect to this application be directed to Stephanie Seidman, BROWN, MARTIN, HALLER & McCLAIN, 1660 Union Street, San Diego, California 92101-2926:

<u>Attorney</u>	<u>Reg. No.</u>
Stephanie Seidman	33,779
Carl Brown	18,587
Neil R. Martin	23,088
John L. Haller	27,795
James W. McClain	24,536
Paula K. Schoeneck	39,362

Address for correspondence: Stephanie Seidman  
BROWN, MARTIN, HALLER & McCLAIN  
1660 Union Street  
San Diego, CA 92101-2926

Full name joint inventor: GYULA HADLACZKY

Inventor's signature: 

Date: May 7, 1997

Residence: HUNGARY

Post Office Address: H. 6723, SZEGED  
SZAMOS U.1.A. IX. 36.  
HUNGARY

Citizenship: HUNGARIAN

See  
paper  
#6

Full name of joint inventor:

ALADAR A. SZALAY

Inventor's signature:

A. A. Szalay

Date: May 8<sup>th</sup>

1997

Residence:

HIGHLAND, CALIFORNIA

Post Office Address:

7327 FAIRWOOD

HIGHLAND, CALIFORNIA 92346

Citizenship:

UNITED STATES OF AMERICA AND  
CANADA

Form PTO-1595

RECORDATION FORM COVER SHEET  
 PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of Conveying party(ies):

HADLACZKY, Gyula

2. Name and address of receiving Party(ies)

THE BIOLOGICAL RESEARCH CENTER OF THE  
 HUNGARIAN ACADEMY OF SCIENCES  
 H-6701 Szeged, P.O.B. 521  
 Hungary

Additional name(s) of conveying party(ies) attached? \_\_\_ Yes X No

Additional name(s) & address(es) attached? \_\_\_ Yes X No

3. Nature of conveyance:

X Assignment \_\_\_ Merger  
 \_\_\_ Security Agreement \_\_\_ Change of name  
 \_\_\_ Other

Execution Date: 4/4/97

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s):  
08/835,682

B. Patent No.(s)

Additional numbers attached? \_\_\_ Yes X No

5. Name and address of party to whom correspondence concerning document should be mailed:

Stephanie L. Seidman  
 BROWN, MARTIN, HALLER & McCLAIN  
 1660 Union Street  
 San Diego, CA 92101

6. Total number of Applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40.00  
X Enclosed  
X Authorized to charge any underpayment to deposit account

8. Deposit account Number: 02-4070

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Stephanie L. Seidman  
 Name of Person Signing  
 Registration No. 33,779

[Signature]  
 Signature

June 25, 1997  
 Date

Total number of pages including cover sheet, attachments, and document: 3

A S S I G N M E N T

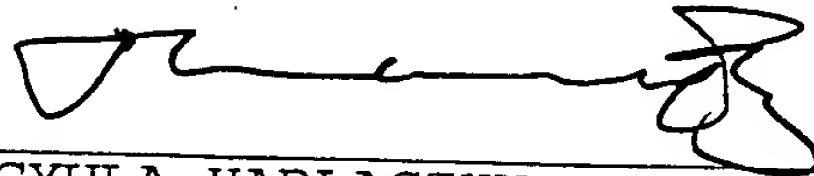
WHEREAS, I, GYULA HADLACZKY, a citizen of Hungary, residing at H.6723, Szeged, Szamos U.1.A. IX. 36., Hungary, for good and valuable consideration, have assigned and do hereby assign to **THE BIOLOGICAL RESEARCH CENTER OF THE HUNGARIAN ACADEMY OF SCIENCES**, a non-profit organization organized under the laws of Hungary, located in H-6701 Szeged, P.O.B. 521, Hungary, (hereinafter Assignee) its successors, assigns and legal representatives, the entire right, title and interest in and to all subject matter invented by me and disclosed in the application for Letters Patent of the United States entitled:

**ARTIFICIAL CHROMOSOMES, USES THEREOF AND METHODS FOR PREPARING ARTIFICIAL CHROMOSOMES**

and in and to all Convention and Treaty rights of all kinds, in all countries throughout the world, for all such subject matter, including the right to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise and, in and to, all Letters Patent to be obtained for said subject matter by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(b) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent.

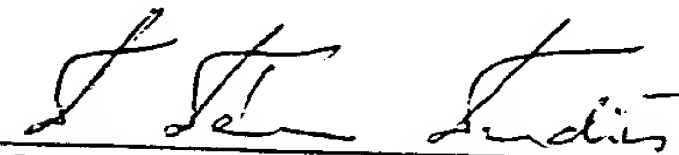
I agree to do all acts and sign all documents necessary to secure, defend and maintain all said Letters Patent and rights, including any continuations, divisionals, reissues, renewals and extensions, and request issuance of all said Letters Patent to the above Assignee in accordance with this assignment.

DATE: Apr. 4. 1997

  
\_\_\_\_\_  
GYULA HADLACZKY

WITNESSED:


DATE: Apr. 4. 1997

  
\_\_\_\_\_  
[SIGNATURE OF WITNESS]

Dr Dénes Dudits  
\_\_\_\_\_  
[PRINTED NAME OF WITNESS]

WITNESSED:

DATE: 4th Apr. 1997

  
\_\_\_\_\_  
[SIGNATURE OF WITNESS]

Dr Istvan RASKO  
\_\_\_\_\_  
[PRINTED NAME OF WITNESS]

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: HADLACZKY et al.  
Serial No.: 08/835,682 Group Art Unit: 1804  
Filed: April 10, 1997 Examiner: Unassigned  
For: ARTIFICIAL CHROMOSOMES, USES THEREOF AND METHODS FOR  
PREPARING ARTIFICIAL CHROMOSOMES

## CERTIFICATE UNDER 37 C.F.R. §3.73(b)

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

THE BIOLOGICAL RESEARCH CENTER OF THE HUNGARIAN ACADEMY OF SCIENCES, organized under the laws of Hungary with its principal place of business at H-6701 Szeged, P.O.B. 521, Hungary, is an Assignee in the above-captioned patent application by virtue of an assignment from inventor Hadlaczky. The Assignment from the inventor was recorded in the U.S. Patent and Trademark Office at Reel 8618, Frame 0716.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

THE BIOLOGICAL RESEARCH CENTER OF THE HUNGARIAN  
ACADEMY OF SCIENCES

Date: 21.09.98

By:



Name: ISTVAN BAKKO MD, PhD  
Title: ASS. GENERAL DIRECTOR

RECORDATION FORM COVER SHEET  
PATENTS ONLY

Atty.

JC843 U.S. PTO

09/724693



6869-4021

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of Conveying party(ies):

SZALAY, Aladar

2. Name and address of receiving Party(ies)

AMERICAN GENE THERAPY, INC.  
5022 154th Street  
Edmonton, CANADA T6H5P3Additional name(s) of conveying  
party(ies) attached? \_\_\_ Yes X NoAdditional name(s) & address(es)  
attached? \_\_\_ Yes X No

3. Nature of conveyance:

X Assignment                      \_\_\_ Merger  
\_\_\_ Security Agreement            \_\_\_ Change of name  
\_\_\_ Other \_\_\_\_\_

Execution Date: 3/28/974. Application number(s) or patent number(s):  
If this document is being filed together with a new application, the execution date of the application is:A. Patent Application No.(s):  
08/835,682

B. Patent No.(s)

Additional numbers attached? \_\_\_ Yes X No5. Name and address of party to whom  
correspondence concerning document  
should be mailed:Stephanie L. Seidman  
BROWN, MARTIN, HALLER & McCLAIN  
1660 Union Street  
San Diego, CA 921016. Total number of Applications and  
patents involved: 17. Total fee (37 CFR 3.41) \$ 40.00  
X Enclosed  
X Authorized to charge any  
underpayment to deposit account8. Deposit account Number: 02-4070

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Stephanie L. Seidman  
Name of Person Signing  
Registration No. 33,779

[Signature]  
Signature

June 25, 1997  
Date

Total number of pages including cover sheet, attachments, and document: 3



A S S I G N M E N T

WHEREAS, I, ALADAR SZALAY, a citizen of the United States of America and of Canada, residing at 7327 Fairwood, Highland, California 92346, U.S.A., for good and valuable consideration, have assigned and do hereby assign to **AMERICAN GENE THERAPY, INC.**, organized under the laws of the Province of Alberta, Canada, located 5022 154th Street, Edmonton, Canada T6H5P3 (hereinafter Assignee) its successors, assigns and legal representatives, any right, title and interest that I may possess in and to all subject matter invented by me and disclosed in the application for Letters Patent of the United States entitled:

**ARTIFICIAL CHROMOSOMES, USES THEREOF AND METHODS FOR  
PREPARING ARTIFICIAL CHROMOSOMES**

and in and to all Convention and Treaty rights of all kinds, in all countries throughout the world, for all such subject matter, including the right to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise and, in and to, all Letters Patent to be obtained for said subject matter by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(b) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent.

I agree to do all acts and sign all documents necessary to secure, defend and maintain all said Letters Patent and rights, including any continuations, divisionals, reissues, renewals and extensions, and request issuance of all said Letters Patent to the above Assignee in accordance with this assignment.

Attorney Docket No. 6869-402D

DATE: March 28/97A. A. Szalay  
ALADAR SZALAY

WITNESSED:

DATE: March 28/97Eileen Uttersen  
[SIGNATURE OF WITNESS]EILEEN UTTERSEN  
[PRINTED NAME OF WITNESS]

WITNESSED:

DATE: March 28/97Augusta Dunigan  
[SIGNATURE OF WITNESS]AUGUSTA DUNIGAN  
[PRINTED NAME OF WITNESS]

JQC843 U.S. PTO

09/724693

11/28/00

Form PTO-1595

RECORDATION FORM COVER SHEET  
PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of Conveying party(ies):

AMERICAN GENE THERAPY, INC.

2. Name and address of receiving Party(ies)

CHROMOS MOLECULAR SYSTEMS, INC.  
6660 NW Marine Drive  
Vancouver, BC V6T 1Z4  
CanadaAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ NoAdditional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of name  
☐ Other \_\_\_\_\_Execution Date: 3/17/984. Application number(s) or patent number(s):  
If this document is being filed together with a new application, the execution date of the application is:A. Patent Application No.(s):  
08/835,682

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

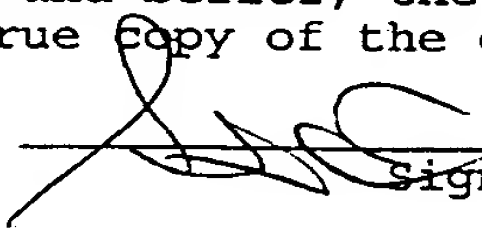
5. Name and address of party to whom correspondence concerning document should be mailed:

Stephanie L. Seidman  
BROWN, MARTIN, HALLER & MCCLAIN  
1660 Union Street  
San Diego, CA 921016. Total number of Applications and patents involved: 17. Total fee (37 CFR 3.41) \$ 40.00  
☒ Enclosed  
☒ Authorized to charge any underpayment to deposit account8. Deposit account Number: 02-4070

DO NOT USE THIS SPACE /

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Stephanie L. Seidman  
Name of Person Signing  
Registration No. 33,779  
SignatureMarch 26, 1998  
DateTotal number of pages including cover sheet, attachments, and document: 4

A S S I G N M E N T

American Gene Therapy, Inc., a corporation organized under the laws of the Province of Alberta, Canada, located at 5022 154th Street, Edmonton, Canada T6H5P3 (hereinafter Assignor), for good and valuable consideration, has assigned and does hereby assign to **CHROMOS MOLECULAR SYSTEMS, INC.**, a corporation organized under the laws of the Province of British Columbia, Canada, with its principal place of business at 6660 NW Marine Drive, Vancouver, BC V6T 1Z4, Canada (hereinafter Assignee), its successors, assigns and legal representatives, any right, title and interest that it may possess in and to all subject matter disclosed in the application for Letters Patent of the United States filed on April 10, 1997 as Serial Number 08/835,682 and entitled:

**ARTIFICIAL CHROMOSOMES, USES THEREOF AND METHODS FOR  
PREPARING ARTIFICIAL CHROMOSOMES**

and in and to all Convention and Treaty rights of all kinds, in all countries throughout the world, for all such subject matter, including the right to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise and, in and to, all Letters Patent to be obtained for said subject matter by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(b) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent.

Assignor agrees to do all acts and sign all documents necessary to secure, defend and maintain all said Letters Patent and rights, including any continuations, divisionals, reissues, renewals and extensions, and request issuance of all said Letters Patent to the above Assignee in accordance with this assignment.

DATE: March 17/98

*A. Szalay*  
ALADAR SZALAY  
Director

WITNESSED:

DATE: 3-17-98

*Lori Hoewing*  
[SIGNATURE OF WITNESS]

Lori Hoewing  
[PRINTED NAME OF WITNESS]

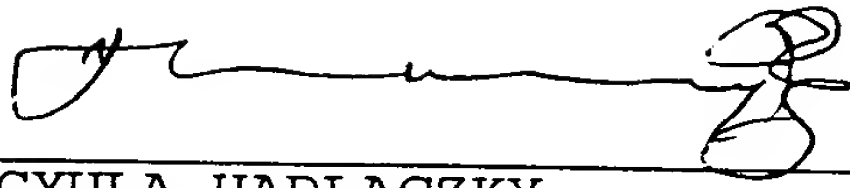
WITNESSED:

DATE: March 23, 1998

*Georgy Bagl*  
[SIGNATURE OF WITNESS]

GYORGY BAGI  
[PRINTED NAME OF WITNESS]

DATE: 28/02/98

  
\_\_\_\_\_  
GYULA HADLACZKY  
Director

WITNESSED:


DATE: 09/03/98

  
\_\_\_\_\_  
[SIGNATURE OF WITNESS]

MOZESNE' HALÓ GYÖNGYI  
\_\_\_\_\_  
[PRINTED NAME OF WITNESS]

WITNESSED:

DATE: 09/03/98

  
\_\_\_\_\_  
[SIGNATURE OF WITNESS]

KERESŐ JUDIT  
\_\_\_\_\_  
[PRINTED NAME OF WITNESS]